Office of the Director of National Intelligence (ODNI)
FY 2011 Intelligence Community
Centers of Academic Excellence in National Security Studies
(IC CAE) Program
2011 BROAD AGENCY ANNOUNCEMENT (BAA) # HM1582-11-BAA-0001

OVERVIEW INFORMATION

Federal Agency Name: Office of the Director of National Intelligence (ODNI) and Department of Defense, National Geospatial-Intelligence Agency (NGA), InnoVision Directorate, Office of Basic and Applied Research

Funding Opportunity Title: Office of the Director of National Intelligence (ODNI) Fiscal Year[1] (FY) 2011 Intelligence Community Centers of Academic Excellence (IC CAE) Program

Announcement Type: Initial Announcement

Funding Opportunity Number: NGA BAA Number HM1582-11-BAA-0001

Catalog of Federal Domestic Assistance (CFDA) Number: 12.630

Dates: Proposal Due Date is **11:59 PM Eastern Standard Time 5 April 2011**

Concise Description: This Broad Agency Announcement (BAA) describes the FY2011 competition for grants under the ODNI Intelligence Community Centers of Academic Excellence in National Security Studies (IC CAE) Program.   The ODNI, the IC CAE Program sponsor, has designated the responsibilities of grant management to NGA as an Executive Agent. The proposals submitted as a result of this announcement will fall under the purview of the Department of Defense Grant and Agreement Regulations (DoDGARs).

The IC CAE Program focuses on research in areas of IC interest and on developing and fostering competitive, knowledgeable, and ethnically diverse talent pools with regional/geographic and cultural awareness, proficiency in critical languages, and expertise in science, technology, engineering, and mathematics (STEM), see Figure 1. This fiscal year 2011 design, framework, and strategies of the IC CAE Program are formulated and executed in accordance with Executive Order 13355 and Intelligence Authorization Act for Fiscal Year 2010.

Potential applicants are encouraged to obtain and become familiar with the information on IC CAE Program by accessing the ODNI website at **http://www.dni.gov/cae**.

It is intended and presumed that all work and data will be unclassified.

Anticipated Amount/Number of Awards: Through this competition, the IC CAE Program expects to make two (2) or more grant awards. However, the government reserves the right to make zero, one, or multiple awards based on the quality of the proposals and available funding. Each individual award can be for a base period of up to two (2) years with up to three (3) one-year options to bring the total maximum term of five (5) years.

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[1] ODNI fiscal year (or budget year) 2011 starts on 1 October 2010 and ends 30 September 2011.

The Government will consider proposals based on the greatest value for contributing to the components of the CAE program, and each proposed cost can range up to $400,000 per year. The base and option periods will be incrementally funded, based on the Government's fiscal year funding procedures and funds availability.

The Government welcomes and encourages funds matching, but it is not required.

Who is Eligible to Apply: The applicant institution—i.e., the lead institution that will be the primary awardee for purposes of award execution—must be an accredited college, university, or other four-year degree-granting institution in the U.S., its territories or possessions, that provides post-secondary school courses of study. A community college can participate, if it is partnered with a four-year institution that grants at least baccalaureate degrees and who will serve as the lead.

NOTE: Applicants are advised to read this entire announcement carefully, as it explains the program needs, eligibility, and submission requirements as well as the terms, conditions, and selection criteria and process for this competition.

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1. FUNDING OPPORTUNITY DESCRIPTION

The main goal of the IC CAE Program is to encourage institutions of higher education to develop IC core mission related academic disciplines to nurture eligible and competitive talent pools to support the evolving national security mission. This goal can be met via institutional and student conducted research on topics of IC interest.

Recognizing that accomplishing this goal requires a competitive, knowledgeable and diverse workforce, through research, the IC CAE Program aims to develop the best methodologies to increase the pool of eligible applicants in core skill areas, concentrating on women and racial/ethnic minorities with varied cultural backgrounds, regional and geographical expertise, skills, language proficiency, STEM (science, technology, engineering, and mathematics) competencies.

Grants awarded under this competition will provide support, stimulation, and resources to competitively selected universities and colleges to provide academic research that will benefit the entire IC CAE Program.

Title to technical data generated under a grant awarded under this BAA shall vest in the award or sub-award recipient. The Government intends to acquire Government Purpose Rights to technical data resulting from any research work specified as an element of performance under the resulting grant(s). Government purpose rights means the Government receives the right to a non-exclusive, non-transferable, royalty-free, fully paid-up license to reproduce, or disclose for governmental purposes any data, technology, software, software documentation, and inventions, whether patented or not, made or developed under a grant awarded under this BAA. Any Grants awarded as a result of this BAA will include a provision incorporating 37 CFR Part 401 to the extent required.

1.1. Program Objectives

The IC CAE Program encourages eligible institutions to submit proposals that offer innovative ideas of establishing/enhancing the CAE Program that will create, attract, and sustain a robust and knowledgeable talent pool in multi-disciplinary areas through academic research. Section 1.4 provides an example set of topical skills, competencies, professions and disciplines that the IC needs to achieve its mission. Applicants are encouraged to demonstrate their understanding of the IC mission, goals, and objectives when crafting the proposals.

Since its inception in fall 2004, the IC CAE Program has awarded grants that include 30 CAE designated universities establishing Centers of Excellence. These centers have enhanced academic and research capabilities of the institutions and increased the number of U.S. students earning degrees important to the IC and the nation.

For this BAA, the IC CAE Selection Panel will give mission priority considerations to proposals that incorporate plans focused on anticipatory analysis for current and potential geographical regions with national security implications.

1.2. Internal/External Program Partner(s) (As Applicable)

The Government encourages and accepts proposals that involve multi-discipline, multi-department, and multi-institution collaboration.

1.3. Technical Program Components

The proposal must clearly define the status of the current capabilities, and IC CAE-related program components (as outlined below) that are already in place, on which the proposed new plan will be built. The new research plan must include the end state and define the gaps to be filled to achieve full program

capability.

1.3.1. National Security/IC Related Curricula and Research Plan

Key objectives of the program are to strengthen academic and research programs in skill and competency areas important to the IC and to increase the number of graduates who obtain proficiencies and degrees in areas outlined in Section 1.4. Institutions are encouraged to solicit the participation of underrepresented ethnic groups.

Proposers must describe a research plan to include activities, approaches and plans for developing new courses, and/or revising the existing courses, and/or integrating courses into certificate/degree programs across multiple disciplines that are national security related. Examples of such approaches and plans include teaching and learning methodologies and techniques, instructional development, delivery methods and evaluation, curriculum assessment with detailed metrics, greater student engagement with IC agencies for technical assistance, and/or involvement in outreach and recruiting activities.

Proposers must explain how they plan to creatively expand, upgrade, enrich, or integrate undergraduate and graduate course offerings to better prepare graduates to perform work in support of national security. Innovative approaches that reach outside the host institution to involve real-world subject matter experts are also welcome.

1.3.2. Program Management – Planning, Assessment, Evaluation, and Reporting

Proposers are required to provide a program management plan for the program, for example, the degree to which the proposed program provides high quality leadership, budgeting and financial/spend plan formulation and management dedicated administrative support, self program assessment/evaluation to include program status and reporting, student involvement, and accountability to ensure success of the program. The budget profile should include up to a two-year base and may include up to three one-year options. If an option year is not proposed, there will not be an opportunity to request option years later.

1.3.3. Foreign Travel/Study Abroad/Cultural and Regional Studies

National security/IC-related curricula and research must be broad and deep in developing students with expertise associated with critical regions such as South Asia and Africa. This may include, but not be limited to, a pervasive understanding of language, culture, religion, geopolitics, emerging technology, and regional expertise in their potential contributions to global conflicts and peace. There must be a competitive process to select students who will receive a stipend to conduct research in areas identified above. Students receiving stipends must be U.S. citizens.

1.3.4. Pre-Collegiate, High School, and Community Outreach

Proposed programs must include strategies to research, develop, and host annual pre-collegiate, high school, and community outreach programs that attract talent to National Security related fields of study and promote awareness about the IC mission and functions. Proposers are encouraged to be creative in utilizing and leveraging talents and assets found within their communities. Examples include workshops, seminars, summer programs, and other integrated outreach activities.

1.3.5. National Security Colloquium

To present and demystify the business of intelligence, institutions must demonstrate their plan to use creativity to develop and host colloquium, seminar, or other collaborative information sharing activities during the period of performance. Activities may include but are not limited to:

- Defined plans of action to annually execute a regional National Security Colloquium/Seminar in the institution's geographic area that includes, to the maximum extent practicable, other colleges/universities, community colleges, and/or high schools;
- Subject matter experts participation from the government, industry, and academia;
- Existing and/or proposed relationships with other institutions of higher education, including areas of mutual research interest, resource-sharing, scientific/technical partnerships, and/or community outreach.

1.3.6. Program Continuity

To continue the objective and goals of the IC CAE Program beyond the proposed period of performance, the proposers must demonstrate their long-term plan to highlight the institution's approaches to sustain and/or grow the program after any awarded grant has ended.

1.4. Applicable National Security Topics, Disciplines, Specializations, and Skills

This BAA allows the applicant institution wide latitude in designing a program/project to operationalize their IC objectives. Listed below in Figure 1 are some of the disciplines, specializations, and skills (topic areas) that are important to the IC's mission. These lists are not exhaustive and are provided to show the range of the IC's interests and to stimulate ideas for proposals.

Figure 1 – Intelligence Community Topics, Disciplines, Specializations, Skills/Competencies (Not exhaustive)

Information Technology Specialists	**Human Dimension Specialists**	**Scientific/Technical [STEM]**
- Program/project management - Enterprise/information architecture - Systems engineer & research - Electronic data optimization - Cyber security - Computer Systems - Software Applications - Software **Political/Economic Specialists** - Political science - Military - Foreign/regional area studies - International business/finance/banking - Economics	- World Languages/Cultures - South Asia [e.g., Pakistani] - Central Asia [Afghani] - Middle Eastern - Far Eastern - Near Eastern - Southeast/Southwest Asia - Sub-Saharan African **Threat Specialists** - Counterterrorism - Counterintelligence - Counternarcotics - Criminal justice - Law enforcement - Homeland security - Cyber threat - Risk analysis - Supply chain risk management - Security Operations - Nonproliferation	- Science - Engineering - Nuclear - Remote Sensing - Technical Weapons - Geospatial Information - Geodesy - Cartography - Telecommunications - Information security - Forensics - Mathematics - Nanotechnology - Bio-metrics - Statistical and Probabilistic Analysis
General Competencies for Intelligence Professionals		
- Analysis, Anticipatory Analysis - Open source collection - Analytical reasoning - Mathematical reasoning	- Political strategy - Project Management - Futuristic focus/strategy - Consequence management	- Team building/team work - Priority setting & execution - Government(s) operations

▪ Link analysis (including social network) ▪ Innovative future focus, strategies, and foresights ▪ Social science ▪ Political science ▪ Legislative analysis and development	▪ Time management ▪ Critical thinking ▪ Knowledge management ▪ Research, developing rational conclusions and alternative solutions from ambiguity and limited data sets ▪ Forecasting and projection	▪ People skills ▪ Interpersonal skills ▪ Communications (oral and written) ▪ Sense making ▪ Resolving conflicts ▪ Managing consequences

It is intended and presumed that all work and data will be unclassified. Therefore, institutions that receive these grants are encouraged to report the results of their project in relevant journals and at appropriate professional conferences. Required reports and presentations shall follow the guidance in Section 5.4.

2. ELIGIBILITY INFORMATION

This competition is open to an accredited college, university, or other four-year degree-granting institution in the U.S., its territories or possessions, that provides post-secondary school courses of study. A community college can participate, if it is partnered with a four-year institution that grants at least baccalaureate degrees and who will serve as the lead.

Each proposal must name a Principal Investigator (PI) as the responsible technical POC; the PI must be an employee of the applicant institution.

NGA will consider the program to be under the technical direction of the PI and NGA expects the PI to be available for the full grant period and have major involvement in the pursuit of the program and objectives. Replacement of the PI is subject to approval from the NGA Program Manager, with concurrence of the Grants Officer.

2.1. Primary/Lead Institution

Each proposal must name an applicant institution or a lead institution that will be responsible for award execution.   If two or more institutions collaborate on a proposal, the proposal must identify one lead institution that will be responsible for the execution and administration of the award. The lead institution should have the responsibility to manage at least 51% of total awarded funds.

2.2. Minority Serving Institution (MSI) Applicants

The Government welcomes proposals from MSIs, e.g. Historically Black Colleges and Universities (HBCUs), Hispanic-Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs), and Asian American and Pacific Islander-Serving Institutions (AAPI-SIs) - individually or as members of proposed teams. Note: This BAA does not provide a set-aside for funding proposals from minority serving institutions. No special consideration will be given to any proposal submitted by any MSI applicants. All proposals will be evaluated in accordance with the guidance set forth in Section 4.

2.3. Cost Sharing or Matching

Cost sharing or matching is not a requirement.

3. PROPOSAL AND SUBMISSION INFORMATION

NGA will use the process and criteria described in Section 4 to evaluate each proposal submitted under the terms and conditions of this BAA. To be accepted for evaluation, a proposal must be received in complete form by the Government via Grants.gov by the due date and time that are stated in Section 3.6,

Submission Deadline and Process. Proposals received after that closing time will be deemed late and will not be considered. Recent experience with Grants.Gov server availability has indicated that very early morning hours (Eastern Time), later evening hours, and weekends have the highest probability of full Grants.Gov system access. Offerors are encouraged to plan proposal submissions well before the BAA deadline and during these hours to avoid missing an opportunity due to late proposal submission. Finally, proposals submitted by any applicant via the "Submit Unsolicited" link on the World Wide Web Intelligence Community Acquisition Resource Center (ICARC, discussed in Section 3.5 below) site, as well as by email, fax, or any other means, will not be accepted under any circumstances. There are no alternatives to a timely Grants.Gov submission for proposal submission.

3.1. Format of Proposal

The proposal must meet NGA's format requirements:

- The proposal must be in single-spaced, 12-point, Times New Roman font, with at least one-inch margins on top, bottom, and sides, on 8½" by 11" pages.
- The proposal must be formatted as uncompressed, Microsoft Word ".doc" files or Adobe Acrobat (.pdf) files with copy permission granted.
- The proposal must be attached to Item 7 of the SF 424 (R & R) Other Project Information form when submitted to the www.Grants.Gov portal (see Section 3.5, Submission Deadline and Process, in this BAA).
- To qualify for evaluation, the submission package and the proposal text must be complete and self-contained. The package must include all the forms specified by Grants.Gov for this BAA, and the text must include all of the parts specified in Section 3.2 and 3.3, in the order listed there. Additional items and attachments, such as institutional brochures or reprints of research papers, will not be considered when the proposal is evaluated.

3.2. Content of Proposal

Each proposal must adequately describe its research objectives, technical approach, management plans, and budgeted expenditures, all of which will be evaluated by qualified reviewers as described in Section 4 of this BAA.

3.2.1. Cover Page

The cover page must include the following eight (8) groups of information items in the order listed here:
1. **Program Name:** "2011 IC CAE Program"
2. **BAA Number:** HM1582-11-BAA-0001
3. **Proposal Title:** Limit this to one line
4. **Principal Investigator (PI)**: Contact information, including at least (1) full, legal name, and academic title, (2) telephone number, (3) fax number, (4) postal mailing address, and (5) Internet electronic-mail address. (This person must be an employee of the applicant institution.) **Alternate contact information**. If problems arise while a proposal is being received and evaluated or an award is being negotiated, NGA will make every effort to contact the associated PI or Administrative Officer. If those efforts fail, however, NGA will be forced to terminate the evaluation or award process for that proposal. Therefore, the PI must provide alternate contact information—alternate telephone numbers and, if possible, the names of other persons and their telephone numbers—that will ensure NGA's ability to contact the PI whenever needed.
5. **Signature of Principal Investigator**. Include date of signature.
6. **Applicant Institution**: Including at least (1) full, legal name of institution, (2) Data Universal Numbering System (DUNS) number, and (3) U.S. Tax Identification Number (TIN). Applicants

not already registered for Central Contractor Registration (CCR) and Grants.gov should allow at least 21 days to complete these requirements.

7. **Administrative Officer** (of the proposing institution): Contact information, including at least (1) full, legal name and institutional rank or title, (2) telephone number, (3) fax number, (4) postal mailing address, and (5) Internet electronic-mail address.
Alternate contact information. The Administrative Officer must provide alternate contact information—alternate telephone numbers and, if possible, the names of other persons and their telephone numbers—that will ensure the Agency's ability to contact the officer or another authorized official of the applicant institution whenever needed during the period when proposals are being received and evaluated and awards are being negotiated. NGA will make reasonable attempts to contact institutions to resolve questions and negotiate awards; however, in the event that reasonable attempts fail, the NGA Grants Office has the authority to remove the institution from the list of awardees.

8. **Signature of Administrative Officer and Date of Signature**.

3.2.2. Senior/Key Person Profile

Biographical sketches are required for the Principal Investigator (PI) and for other key personnel.

Provide a summary table of (1) the names of all persons for whom financial support is proposed and, for each person individually, (2) planned commitments to (in units of a percentage of a nominal full-time work year) (a) the proposed program role or research and (b) other work, professional, and/or academic activities. Attach up to 3-page resume or curriculum vitae (CV) for each.

Click "Add Attachment" to attach biographical sketches, resumes, or curriculum vitae (CV) – not to exceed three (3) pages each.

3.2.3. Other Project Information

Complete questions 1 through 5 and attach files. The files must comply with the following instructions:

3.2.3.1 Project Summary/Abstract (Program Description)

The project summary/abstract, no longer than one page, should provide a concise description of the proposed CAE program, including objectives(s) of the CAE program, approaches to be utilized, anticipated outcomes, and the impact the program is expected to have on capabilities of the institution(s), on students, and on IC mission. It should identify the lead Principal Investigator, partnering institutions/investigators, and other key personnel critical to the program's success.

The abstract should indicate the competency/skill area(s) relevant to the IC interests (See Section 1.4 of this announcement).

To provide Project Summary/Abstract, click "Add Attachment."

3.2.3.2 Project Narrative (Program Components)

The program plan of the proposal shall be a maximum of fifteen (15) pages. This section must describe, in detail, your institution's proposed IC CAE Program design, research plan, internal/external partner(s), program management plan, and execution strategy. The program design should include the technical program components as described in Section 1.3.

The management plan should include details relating to administrative support. It should also include metrics for conducting the program and tracking progress to ensure return on investment, report findings, and provide linkages in accordance with the IC CAE Program objectives.

3.2.4. Budget (Program Budget & Cost)

Complete Sections A through J and attach a budget justification in Section K. The budget justification should provide additional information/data by element of cost, sufficient to meet the guidance provided below and ensure meaningful evaluation.

The budget should define the period of performance (assume a proposed start date of **21 September 2011**, up to 2 base years, and up to 3 option years), the total cost of the program, and the amount and source(s) of program funding (i.e. funds requested/provided from other federal agencies; and any non-federal funds that will be utilized for the program). **If you do not request and submit an itemized budget for each option year (years 3-5) in your original bid, there will not be an opportunity to include those option years later.** The program cost must be shown in total as well as broken down by cost elements for each year of the program. Use a separate SF-424 (R&R) Budget form for each year. The annual cost should be based upon the applicant's proposed program but shall not exceed $400,000 per year**.** The SF-424 (R&R) Budget-Cumulative Budget form will reflect the total costs.

It is imperative to provide the full lifecycle cost estimates in the submission as there will not be an opportunity to include those option years later. Line item costs must be included that identify the proposed total spend plan for all proposed years that covers each component of the program as identified in Section 1.3.

Costs of entertainment, amusement, diversion and purely social activities and any costs directly associated with such activities are unallowable.

Costs to implement the Section 1.3 program components may include: labor and negotiated rates; allowable travel and incidental expenses; allowable expenses to cover courses at overseas institutions which increase recipients' linguistic ability/cultural expertise; allowable expenses for books related to the courses, research materials and or travel expenses for meetings/conferences directly related to national security research issues and fees and travel expenses for meetings/conferences that further the understanding of IC agencies/elements; allowable expenses for processing time on advanced systems; and laboratory fees. Students may participate in this research for more than one (1) year. The costs should be allocated into one of the cost elements below and include the basis of estimate for the proposed cost. For further information on allowable costs, see OMB Circulars A-21 or A-122, as applicable.

This section shall include statements as to the basis of estimate for all proposed costs. Cost elements should include, but are not limited to, the following:

1. **Time charges**. The persons (i.e., the Principal Investigator, other faculty and institutional staff, and graduate and undergraduate students), for whom time will be charged to the project, and their commensurate salaries (unburdened labor) and benefits (fringe benefits - factor in the allowable amount in accordance with your most recent Negotiated Rate Agreement, a copy of which should be included in the proposal). Allowable charges for students may include tuition, salary, appropriate program costs, training, and travel.
2. **Equipment**. Equipment cost should be minimal and appropriate for the proposed research effort and shall be properly justified. These costs should be broken out by unit prices.
3. **Travel**. Costs and personnel time for travel and the relevance of the travel to stated program objectives. This shall include a breakdown of the number of travelers, location, and duration; and estimated costs for transportation, rental car, and per-diem. This shall include travel for the required attendance of a senior program representative at either the Senior Advisory Board or the IC CAE Best Practice Seminar which is planned to be held in the Washington, DC area for three days each year, plus one additional trip each year to the Washington, DC metropolitan area for a

one day program review. (See Guidance for Completion of Mandatory and Optional Forms, Block D of the SF-424 (R & R) Budget for additional details on travel.)

4. **Other direct costs**. Materials and supplies; publication, documentation and dissemination; consultant services; computer services; communication costs not included in overhead; and other (identify). In addition, please provide backup data for the source of costs, i.e., quote, historical data, etc. (See Attachment 1 of this BAA, Guidance for Completion of Mandatory and Optional Forms, Block F of the SF-424 (R & R) Budget for additional details on direct costs.)

5. **Sub-awards**. Costs and types of sub-awards (the portion of work to be sub-awarded and associated rationale for the sub-awards). Note that the sub-award of funds among all university and non-university performers responding as one consortium must be described carefully in both the text and the cost section. (In the package submitted to grants.gov, SF-424 (R & R) Sub award Budget Attachment(s) shall be completed.)

6. **Facilities and Administrative (F & A) Costs.** Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F & A costs are synonymous with "indirect costs" and should be proposed in accordance with the universities most recent negotiated rate agreement. (See Attachment 1 of this BAA-Guidance for Completion of Mandatory and Optional Forms, Block H of the SF-424 (R & R) Budget for additional details on indirect costs.)

3.2.5. Acknowledgement of ODNI funds

It is necessary for the President, Vice-President, Chancellor, Vice-Chancellor, or Provost at the University to acknowledge that they are receiving funds from the Office of the Director of National Intelligence. This memo must be submitted with the proposal and received for a final award decision to be made.

3.2.6. Human **Subjects in Research**

Proposals selected for funding are required to comply with provisions of the Common Rule (32 CFR 219) on the protection of human subjects in research http://www.dtic.mil/biosys/downloads/32cfr219.pdf and the Department of Defense Directive 3216.2 http://www.dtic.mil/whs/directives/corres/htm12/d32162x.htm. All proposals that involve the use of human subjects are required to include documentation of their ability to follow Federal guidelines for the protection of human subjects. This includes, but is not limited to, protocol approval mechanisms, approved Institutional Review Boards, and Federal Wide Assurances. These requirements are based on expected human use issues sometime during the entire length of the proposed effort. Approval is still required by the Government prior to work beginning involving human subject use. The recipient shall provide their IRB approval of specific research, the blank informed user consent form, and the protocol and related documents as requested for secondary approval by NGA.

3.2.7. Animal Subjects in Research

Proposals selected for funding are required to comply with provisions of the (9 CFR I, Parts 1, 2, and 3) on the protection of animal subjects in research (http://www.access.gpo.gov/nara/cfr/waisidx_08/9cfrv1_08.html) and the Department of Defense Directive 3216.01 (http://www.dtic.mil/whs/directives/corres/pdf/321601p.pdf. If animals are to be utilized in the research effort proposed, the Offeror must complete a DOD Animal Use Protocol with supporting documentation (copies of American Association for Accreditation of Laboratory Animal Care (AALAC) accreditation and/or NIH assurance, Institutional Animal Care and Use Committee (IACUC) approval, research literature database searches, and the two most recent USDA inspection

reports) prior to award. These requirements are based on expected animal use issues sometime during the entire length of the proposed effort. Approval is still required by NGA prior to work beginning involving animal subject use. The recipient shall provide their IACUC approval of specific research, and the protocol and related documents as requested for secondary approval by DoD.

3.3. Certifications

The applicant's signature on the SF424, in the proposal package submitted to www.Grants.Gov, demonstrates acceptance of the following certifications:

1. Certification at Appendix B to 32 CFR Part 22 (DoDGARS) in accordance with 2 CFR Part 1125 regarding debarment, suspension, and other responsibility matters.
2. Certification at Appendix C to 32 CFR Part 26 (DoDGARS) regarding drug-free workplace requirements.
3. Certification at Appendix A to 32 CFR Part 28 (DoDGARS) regarding lobbying.
4. Certification at Appendix B to 32 CFR Part 22 (DoDGARS) regarding the Civil Rights Act.
5. Certification at Appendix B to 32 CFR Part 22 (DoDGARS) regarding the Age Discrimination Act of 1975.
6. Certification at Appendix B to 32 CFR Part 22 (DoDGARS) regarding the Rehabilitation Act of 1973.
7. Certification at Appendix B to 32 CFR Part 22 (DoDGARS) regarding Environmental Standards.
8. Certification at Appendix B to 32 CFR Part 22, in accordance with 41 U.S.C. 22 regarding Officials Not to Benefit.
9. Certification at Appendix B to 32 CFR 22.520 regarding Military Recruiters.
10. Certification at Appendix B to 32 CFR 22 (DoDGARS) regarding Human Subject Use testing.
11. Certification at Appendix B to 32 CFR 22 (DoDGARS) regarding Animal Use testing.

These certifications are located in the DoD Grant and Agreement Regulation (DoDGARs), DoD 3210.6-R. This document is available electronically, under the heading "publications," on the Internet at http://www.dtic.mil/whs/directives/corres/html/321006r.htm.

3.4. Funding Restrictions

The proposed cost must be no more than about $400,000 per year, but some annual variation is allowed. A grant will not provide for reimbursement of pre-award costs.

NGA anticipates that funding will be provided for the full grant award period, but all grant awards are subject to the availability of funding. IC CAE grants are funded incrementally, one year at a time; annual funding is provided to the lead institution after the annual IC CAE budget is approved.

3.5. Inquiries from Applicants

Potential applicants can submit questions or comments regarding this BAA. All questions must be submitted via the Intelligence Community Acquisition Research Center (ICARC) website at http://arc.westfields.net. New users of the ARC must first register (using the "Create New Account" button on the Web page) and obtain a user identifier and password to use for logins at the site. Institutions of all kinds can also register (using the "Register Company" button on the Web page) for future unclassified RFP and BAA solicitations.

Once registered and logged in at the ICARC, a potential applicant can select the ICCAE11 ICARC page under "Current Efforts" in the "Other/Special" list. Applicants shall use the Q&A link on that page to

submit a question or comment, and can view the responses to all questions and comments, including those submitted by other institutions. Applicants should reference the topic number in order to better direct and respond to topic questions. Applicants are encouraged to review all previous questions and answers prior to posting a question/comment to avoid duplication of questions.

Questions and comments from potential applicants regarding this BAA will be accepted via only the ICARC Web site. Applicants should not directly contact any NGA or IC CAE personnel. Questions/comments submitted via the "Ask the Director" link on the ICARC will not receive a response. The **cut-off for questions is 20 March, 2011.**

3.6. Submission Deadline and Process

NGA is participating in the Grants.Gov Initiative that provides the Federal grant community a single Internet site for finding and applying for grant-funding opportunities. NGA requires applicant institutions to submit their FY11 IC CAE proposals electronically through http://www.Grants.Gov/Apply. Please carefully review the recommended and unallowable proposal submission practices in paragraph 3 above while planning for proposal preparation and submission.

1**. Submission deadline**. All submissions must be received by 11:59 pm Eastern Standard Time on **5 April, 2011**. The Grants.Gov portal *will not accept* proposals after that time.

2. **Submission Process:** The Grants.Gov/Apply feature includes a simple, unified application process that makes it possible for applicants to apply online. Grants.Gov has a full set of instructions on how to apply for FY 11 IC CAE grants on its website at http://www.Grants.Gov/CompleteApplication; applicants are referred to those instructions to carry out the application process. The site also contains registration checklists to help applicants through the registration process. NGA recommends that applicants download the checklists and prepare the information requested before beginning the registration process. Reviewing and assembling required information before beginning the registration process will make the process faster and smoother.

Applicants *must* use the Adobe format and Adobe Reader for submissions in response to this BAA. In addition to forms that are part of the application instructions, there will be a series of electronic forms that are provided utilizing an Adobe reader.

3.6.1. Acknowledgement and Proof of Timely Submission

Proof of timely submission is automatically recorded by Grants.Gov. An electronic time stamp is generated within the system when the proposal is successfully received by Grants.Gov. When an applicant has successfully transmitted its proposal, the applicant will receive an acknowledgement of receipt and a tracking number from Grants.Gov. The applicant should print this receipt and save it as proof of timely submission. Also, when NGA successfully retrieves the proposal from Grants.Gov, Grants.Gov will provide an electronic acknowledgment of receipt to the e-mail address of the applicant institution's AOR. Proof of timely submission is automatically recorded by Grants.Gov. An electronic time stamp is generated within the system when the proposal is successfully received by Grants.Gov. When an applicant has successfully transmitted its proposal, the applicant will receive an acknowledgement of receipt and a tracking number from Grants.Gov. The applicant should print this receipt and save it as proof of timely submission. Also, when NGA successfully retrieves the proposal from Grants.Gov, Grants.Gov will provide an electronic acknowledgment of receipt to the e-mail address of the applicant institution's AOR.

The time of submission for an FY11 IC CAE proposal shall be the electronic time stamp or acknowledgement of receipt that Grants.Gov receives the proposal. Proposals received by Grants.Gov after the submission deadline that is stated at the beginning of Section 3.6 will be considered late and

will not be considered for evaluation or funding. Therefore, NGA suggests that applicants submit their proposals during the operating hours of the Grants.Gov Support Desk, so that if there are questions concerning transmission, operators will be available to walk the applicant through the process. Submitting a proposal during the Support Desk hours will also ensure that the applicant will have sufficient time for the proposal to complete its transmission prior to the submission deadline. Applicants using dial-up connections should be aware that their transmission could take a long time before Grants.Gov receives it. In all cases, Grants.Gov will provide either an error or a successfully received transmission message. The Grants.Gov Support desk reports that some applicants abort their transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the submission. Uploading and transmitting multiple files and electronic forms with associated XML schemas might take a long time.

4. PROPOSAL EVALUATION AND SELECTION INFORMATION

Proposals that are received on-time, as specified in section 3.6, will be evaluated for possible award in accordance with the process and criteria stated in this section. To qualify for evaluation and possible award, a proposal must meet basic requirements of this acquisition, including (1) the eligibility of the applicant institution as specified in Sections 2 and 3.3 of this BAA; (2) the format of the proposal as specified in Section 3.1; and (3) the completeness of the content in terms of having the parts specified in Section 3.2, and especially the completeness of the cover page as specified in Section 3.2.1. If a submitted proposal fails to meet requirement (1), no award can be made regardless of the merits of the proposal. If a proposal fails to meet requirement (2) or (3), it is likely that the proposal will achieve only a low score on one or more of the evaluation criteria specified in this section.

4.1. Technical Evaluation

An Evaluation Team of technical and program experts will analyze eligible proposals with regard to their technical merit. The Evaluation Team will be organized into Subsidiary Teams, each of which will have a Team Lead. Each Subsidiary Team will evaluate all assigned proposals against the criteria stated in this section. The members of the Evaluation Team will be selected mainly from among ODNI employees with subject matter expertise. Other government agencies share many of the research goals detailed in this announcement. Therefore, representatives of other Government organizations might participate in the review, selection, and support of some projects submitted in response to this BAA.

Contractors will not be members of the Evaluation Team that evaluates and selects proposals. However, some Government-paid contractors of the ODNI and the NGA who are subject matter experts for topic areas may provide technical advice to the evaluation team, and some will provide administrative support for the evaluation and selection process.

The following two criteria will be utilized in the independent technical evaluation for each proposal received:

(1) Technical Merit

National Security/IC Related Curricula and Research Plan (30%). The proposal must include a research plan that demonstrates innovative, sound, and effective approaches and plans to educate and encourage students to pursue interesting and mutually beneficial employment in the IC through undergraduate and/or graduate programs and institutional commitment to the program.

Program Management – Planning, Assessment, Evaluation, and Reporting (20%). The proposal must include a program management plan which provides a description of credible institutional leadership and management that will adequately sustain, advance, control, and accurately report progress in all objectives of the program. The plan must describe the leadership and management

approach, budget and financial/spending plan formulation, self assessment, and program performance management.

Foreign Travel/Study Abroad/Cultural and Regional Studies (20%). The proposal must demonstrate its plans to implement a competitive program to develop competencies in regional and international studies, critical and hard-target languages, and cultural awareness.

Pre-Collegiate, High School, and Community Outreach (15%). The proposal must demonstrate its plan to develop and host annual pre-collegiate, high school, and community outreach initiatives/activities to attract talent early and promote awareness about IC careers, co-ops, and opportunities for scholarships.

National Security Colloquium (10%). The proposal must demonstrate plans to conduct a series of intelligence-focused seminars and/or workshops in support of the IC CAE Program goals and objectives as well as establish and maintain beneficial partnerships.

Program Continuity Planning (5%). The proposal must demonstrate the extent to which the proposed approach and plans establish an IC program that is independently sustainable by the proposing institution and how the program will benefit the IC beyond the proposed period of performance when any awarded grant has ended.

(2) Resource Allocation Recommendation

The extent to which the proposed research effort justifies the resource requested.

Criteria (2) is evaluated as being either excessive, reasonable, or insufficient.

4.2. Proposal Selection

After the independent technical evaluation for each proposal is completed without comparison to any other proposals, the individual scores will be forwarded to the Selection Panel Chair. The Chair will then convene a meeting of the Selection Panel, for the purpose of selecting the set of most appropriate recipients from the entire set of proposals that has the greatest potential contribution to the IC CAE program.

The Selection Panel will use the technical merit evaluations as the starting point for deliberations. The Selection Panel will take a holistic view of all the proposals and will consider the following additional two criteria in determining the proposals selected for award:

(3) Potential relationship and relevance of the proposed research to the overall IC CAE Program and impact on IC missions. Representative areas of the IC topics, disciplines, specializations, skills/competencies are stated in Figure 1.

(4) Program balance to the IC CAE Program mission priorities, with respect to past and current research including those efforts funded by the Government, IC mission priorities, and overall budget limitations. Program balance considerations include how the proposals when taken as a whole meet the objectives of the IC CAE.

Criteria (1 - Technical Merit), (3-Relationships and Relevance to IC CAE Program and IC Missions) and (4-Program Balance to Mission Priorities) are considered of greater and equal importance, with (2 – Resource Allocation Reasonableness) being of lesser importance than any other single criteria.

The Selection Panel Chair will recommend the set of proposals for award that offers the greatest potential value to the IC CAE Program considering these factors and availability of funds, together with

documentation of the evaluation and selection process, first to the Assistant Director of National Intelligence for Human Capital (ADNI/HC) for approval, then upon approval to the Director of the NGA Academic Research Program for approval. Once approved, the list will be sent to the NGA Grants Officer for negotiation and award action. The number of awards to be made depends on the quality of the proposals and amount of funding available to the program. If additional funding becomes available from within the community or from other U.S. Government agencies, the IC CAE Program may choose to make additional awards under the terms of this BAA from the remaining proposals. Those other U.S. Government organizations will be free to support any compliant and otherwise eligible proposal(s) that addresses their own research interests.

5. GRANT ADMINISTRATION INFORMATION

5.1. Anticipated Announcement and Award Dates

The following table provides the schedule of significant dates that apply to this announcement. The Estimated Program Start Date given here should be used for planning and budgeting purposes. Applicants may, however, request a later start date and develop their program plan and budget in accordance with the requested start date. *All proposals shall be valid for 365 days* to allow time for the evaluation, selection, and award process.

Action	Due Date
Issue Broad Agency Announcement	**18 February 2011**
Receive or Entertain Questions on IC CAE Program & Proposal	**20 March 2011**
Proposal Due (See Section 3.6.1 regarding acknowledgement that Grants.Gov provides on-line to applicant when proposal has been successfully submitted.)	**5 April 2011**
Acknowledge Proposal Receipt (See Section 3.6.1 regarding acknowledgement that Grants.Gov email to applicant institution's AOR when NGA has successfully retrieved the proposal from Grants.Gov.)	**12 April 2011**
Estimated Award Notification	**31 August 2011**
Estimated Start Date	**21 September 2011**

5.2. Grant Notices

After evaluation of the submitted proposals, NGA will notify the proposing institutions whether or not their proposals are being recommended for a grant. For each proposal, notification will be sent, according to the schedule in Section 5.1, in an electronic-mail message to the institutional Administrative Officer, and if possible the Principal Investigator, named on the cover page of the proposal. Grants are expected to be in place by either the proposed start date or the estimated start date given in Section 5.1, whichever is later. The Government is not obligated to provide any funding until a Government Grants Officer signs the grant award document.

5.3. Administration

5.3.1. Grant Funding

Grants will be made at funding levels commensurate with the program plan and in response to Agency missions. The level of each award is anticipated to be no more than $400,000 per year for up to a two year base period and for up to 3 one-year option periods.

Grants will be incrementally funded annually. Negotiations may result in funding levels or periods of

performance more or less than proposed. It is the Government's desire to assess the program performance outcomes and results to ensure option years of grant funding are warranted.

5.3.2. Central Contractor Registration and Universal Identifier Requirement

A. Central Contractor Registration and Universal Identifier Requirements.

Requirement for Central Contractor Registration (CCR). Unless the Recipient is exempt from this requirement under 2 CFR 25.110, the Recipient must maintain the currency of the information in the CCR until submission of the final financial report required under this award or receive the final payment, whichever is later. This requires that the Recipient review and update the information at least annually after the initial registration, and more frequently if required by changes in the Recipient information or another award Article.

B. Requirement for Data Universal Numbering System (DUNS) Numbers.
If the Recipient is authorized to make sub awards under this award the Recipient:
Must notify potential sub recipients that no entity (see definition in paragraph C of this award term) may receive a sub award from the Recipient unless the entity has provided its DUNS number to the Recipient.
May not make a sub award to an entity unless the entity has provided its DUNS number to the Recipient.

C. Definitions. For purposes of this Article:
Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at http://www.ccr.gov).
Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866–705–5711) or the Internet (currently at http://fedgov.dnb.com/webform).
Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
     i. A Governmental organization, which is a State, local government, or Indian Tribe;
     ii. A foreign public entity;
     iii. A domestic or foreign nonprofit organization;
     iv. A domestic or foreign for-profit organization; or
     v. A Federal agency, but only as a sub recipient under an award or sub award to a non-Federal entity.
Sub award:
     i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the recipient received this award and that the recipient awards to an eligible sub recipient.
     ii. The term does not include the recipient's procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ll.210 of the attachment to OMB Circular A–133, ''Audits of States, Local Governments, and Non-Profit Organizations'').
     iii. A sub award may be provided through any legal agreement, including an agreement that you consider a contract.
Sub recipient means an entity that:

    i. Receives a sub award from the recipient under this award; and
    ii. Is accountable to the recipient for the use of the Federal funds provided by the sub award.

5.4. Reporting

Copies of reports and all referenced documents will be submitted in hard- and soft-copy to the Director of the Office of the IC Centers for Academic Excellence, the NGA Grants Officer, and the NGA Academic Research Program Office. Contact information will be supplied when the grant is awarded.

Reporting requirements and instructions for report preparation will be included in the grant award document signed by the Grants Officer.

5.4.1. Mandatory Reporting

Institutions are required to submit end-of-grading-period (i.e., end-of-quarter or end-of-semester) reports outlining CAE Program accomplishments, progress made, status, metrics, lessons learned, upcoming activities/milestones, and necessary adjustments (if any) in accordance with the proposal. Any adjustments that are outside the scope of the original proposal must be approved by the Grants Officer.

5.4.2. Annual Reports

Institutions are also required to submit an end-of-year report no later than 30 days after the anniversary date of the award (each year). The annual report must include key activities, milestones, accomplishments, impacts, and issues/concerns. The Government encourages the institutions to include all publications, presentations, workshops, and other program related artifacts and work products generated during the performance year.

5.4.3. Final Project Report

A comprehensive final project report is required not later than 90 days after the conclusion of the period of performance. The report should address the accomplishments for the entire grant period and provide a listing of all key activities, accomplishments, publications, presentations, workshops, and other program related artifacts and work products arising from the project. The final project report must conform to the Research Performance Progress Report (RPPR format), with responses provided to all optional categories.

5.4.4. Annual IC Centers of Academic Excellence Symposium

Representatives from all IC Centers of Academic Excellence are required to attend and present at the annual IC Centers of Academic Excellence Symposium.

5.4.5. Final Financial Report and Transparency Act

The Final Standard Form 425, Federal Financial Report (FFR) shall include the information required in fields 11.a through 11.f.

5.4.6. Subaward and Executive Compensation Information Reporting Requirement

A. Reporting Sub awards and Executive Compensation.
Reporting of first-tier sub awards. Unless the Recipient is exempt as provided in paragraph D. of this article, the Recipient must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111–5) for a sub award to an entity (see definitions in paragraph e. of this award term).
Where and when to report. The Recipient must report each obligating action described in paragraph A.1. of this Article to http://www.fsrs.gov. Sub award information must be reported no later than the

end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.) What to report. The Recipient must report the information about each obligating action in accordance with the submission instructions posted at http://www.fsrs.gov.

B.   Reporting Total Compensation of Recipient Executives.
Recipients must report total compensation for each of the five most highly compensated executives employed by the Recipient for the preceding completed fiscal year, if -
     i.   the total Federal funding authorized to date under this award is $25,000 or more;
     ii.   in the preceding fiscal year, the Recipient received (a) 80 percent or more of its' annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub awards); and (b) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
     iii.   the public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

Where and when to report. The Recipient must report executive total compensation described in paragraph B.1. of this Article:
     i.   As part of the Recipient's registration profile at http://www.ccr.gov.
     ii.   By the end of the month following the month in which this award is made, and annually thereafter.

C.   Reporting of Total Compensation of Sub recipient Executives.

Unless the Recipient is exempt as provided in paragraph D. of this Article, for each first-tier sub recipient under this award, the Recipient shall report the names and total compensation of each of the sub recipient's five most highly compensated executives for the sub recipient's preceding completed fiscal year, if -
     i.   In the sub recipient's preceding fiscal year, the sub recipient received (a) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub awards); and (b) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub awards); and
     ii.   The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

Where and when to report. The sub recipient must report sub recipient executive total compensation described in paragraph C.1. of this Article:

    i.   To the recipient.

    ii. By the end of the month following the month during which the recipient makes the sub award. For example, if a sub award is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), the recipient must report any required compensation information of the sub recipient by November 30 of that year.

D.   Exemptions

If, in the previous tax year, the recipient had gross income, from all sources, under $300,000, the recipient is exempt from the requirements to report:

    i.   Sub awards, and

    ii. The total compensation of the five most highly compensated executives of any sub recipient.

E.   Definitions. For purposes of this Article:

Entity means all of the following, as defined in 2 CFR part 25:

    i.   A Governmental organization, which is a state, local government, or Indian tribe;

    ii.   A foreign public entity;

    iii. A domestic or foreign nonprofit organization;

    iv. A domestic or foreign for-profit organization; or

    v.   A Federal agency, but only as a sub recipient under an award or subaward to a non-Federal entity.

5.5. Agency Contact

NGA point of contact at NGA for this BAA is:

Mr. James Troutman, Grants Officer

e-mail: ACTGrants@nga.mil